



STATE OF SOUTH CAROLINA
DEPARTMENT OF EDUCATION

Office of Special Education Services

What to Expect When You are Expecting a Monitoring Team

**GUIDANCE ON THE MONITORING PROCESS
2015-2016**

**Research to Practice
July 2015**

SUPPORTING THE MISSION AND VISION OF THE SCDE

Mission

The mission of the SC Department of Education is to provide leadership and support so that all public education students graduate prepared for success.

Vision

All students graduate prepared for success in college, career, and citizenship. By 2018, at least one school in every district will have implemented personalized learning that supports students meeting the Profile of the South Carolina Graduate.

OSes supports the SCDE mission statement and vision by ensuring that all students with disabilities in SC have available a free appropriate public education (FAPE) in order to be ready for success in college, careers, and citizenship.

PROFILE OF THE SOUTH CAROLINA GRADUATE



World Class Knowledge

- Rigorous standards in language arts and math for career and college readiness
- Multiple languages, science, technology, engineering, mathematics (STEM), arts and social sciences

World Class Skills

- Creativity and innovation
- Critical thinking and problem solving
- Collaboration and teamwork
- Communication, information, media and technology
- Knowing how to learn

Life and Career Characteristics

- Integrity
- Self-direction
- Global perspective
- Perseverance
- Work ethic
- Interpersonal skills

Approved by SCASA Superintendent's Roundtable and SC Chamber of Commerce.

OVERSIGHT AND ASSISTANCE TEAM

- Peter Keup, Team Lead
- Cheryl Fitts, Ombudsman
- Kathleen Heiss, Monitor
- Ann Moore, Monitor
- Mary Etta Taylor, Monitor
- Dianne Bennett, TAC
- LaShawn Thomas-Bridges, TAC
- Ann Eisenstein, TAC
- Tabitha Strickland, TAC

(TAC-Technical Assistance Contact)

SESSION AGENDA

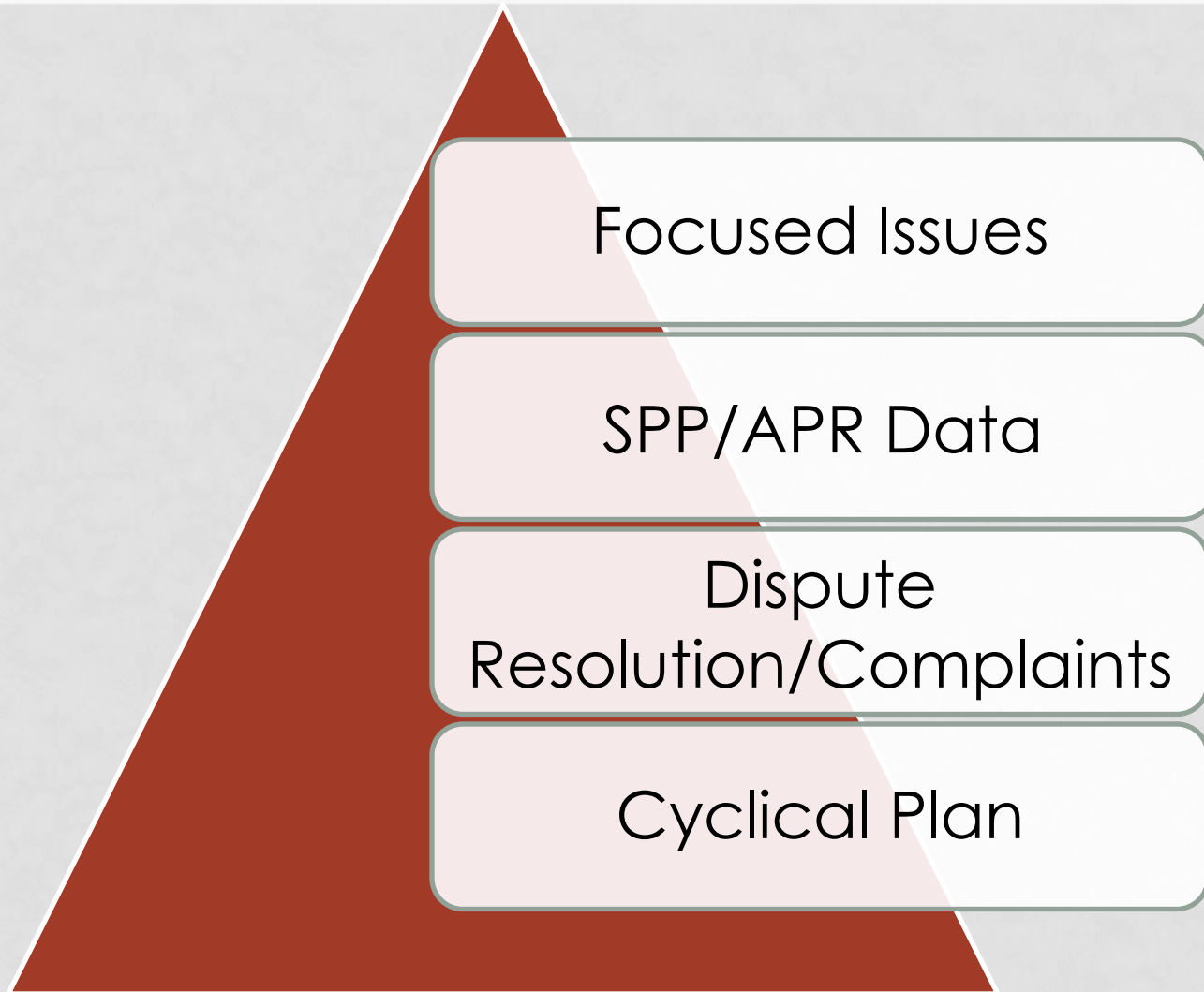
- A. Explanation of the monitoring process
- B. Discussion of the monitoring results/findings packet and individual student and LEA findings of noncompliance
- C. Explanation of the correction process following a monitoring visit

HANDOUTS

The Compliance Seekers' Guide to the Universe



HOW ARE LEAs SELECTED FOR PROGRAM MONITORING?



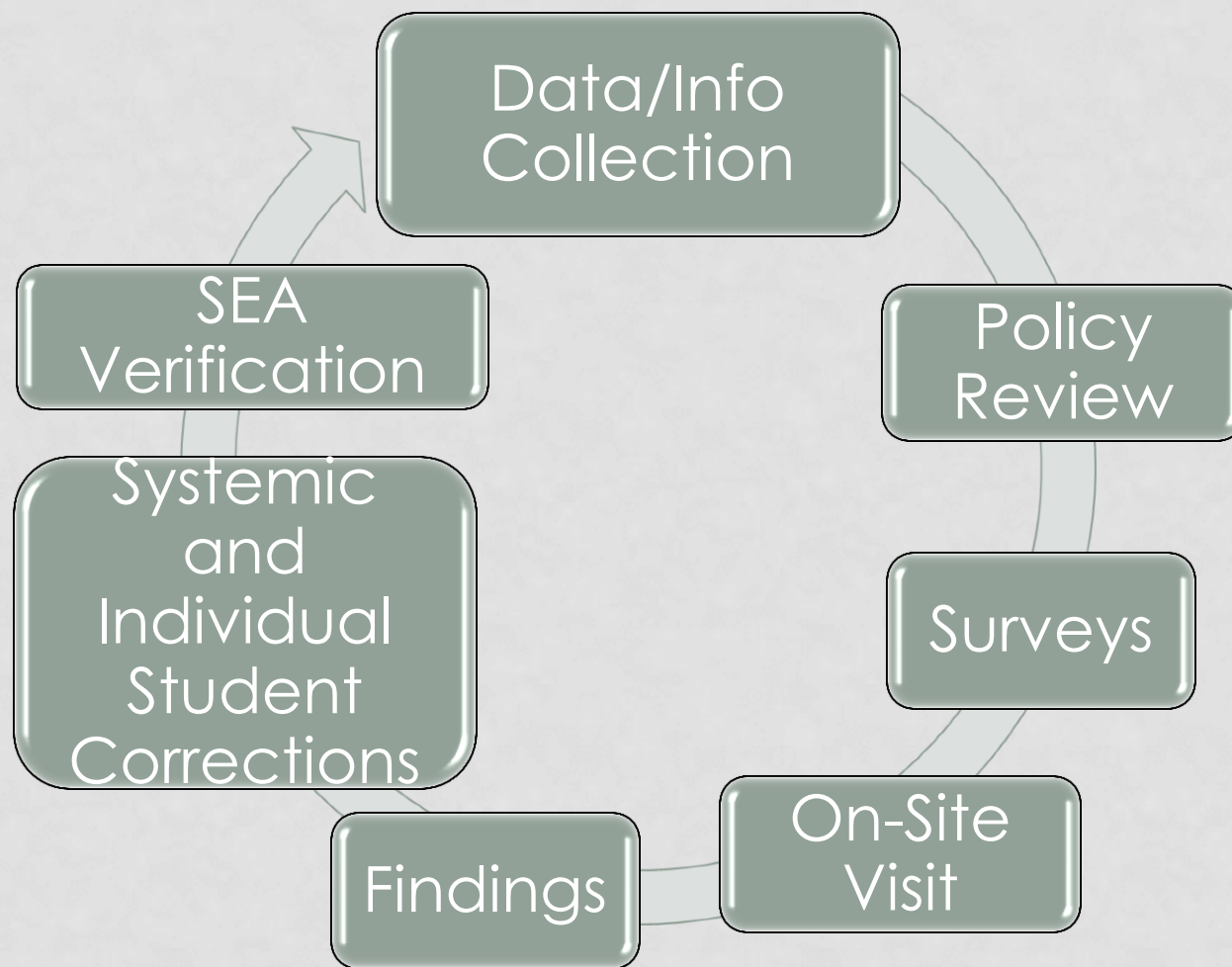
2015-2016 SCHEDULE

LEA Name	Date of Visit	Lead Monitor
Barnwell 45	September 9-10	Ann Moore
Clarendon 02	September 23-24	Kathleen Heiss
Anderson 05	October 6-8	Mary Etta Taylor
Abbeville	October 21-22	Ann Moore
Fairfield	November 4-5	Ann Moore
Florence 05	November 18-19	Mary Etta Taylor
Lancaster	December 2-4	Kathleen Heiss
Richland 02	January 20-22	Kathleen Heiss

2015-2016 SCHEDULE (CONTINUED)

LEA Name	Date of Visit	Lead Monitor
Dillon 04	February 3-4	Mary Etta Taylor
Jasper	February 17-18	Ann Moore
Clarendon 03	March 9-10	Kathleen Heiss
Colleton	March 23-24	Mary Etta Taylor
Dillon 03	April 6-7	Ann Moore
Spartanburg 01	April 20-21	Kathleen Heiss
Greenwood 52	May 4-5	Mary Etta Taylor
Berkeley	May 17-19	Ann Moore

OSes IDEA PROGRAM MONITORING PROCESS




MONITORING PROCESS

FOUR PARTS

1. Policies and Procedures Review – desk audit
2. IEP Development – desk audit of IEPs and on-site review of student files (includes Indicator 13 Review)
3. IEP Implementation – on-site visits to schools with review of student schedules, service logs, attendance records, PowerSchool incident management reports, and IEP progress reports
4. Other Data Collection
 - a. LEA 616/618 Data (timely submission and performance)
 - b. General Education Teacher and Parent Online Survey Results
 - c. In-Person Interview Information (parents, school administrators, special education teachers, and service providers)

REVIEW OF LEA POLICIES, PROCEDURES, FORMS, AND STAFFING

(INITIAL SUBMISSION CHECKLIST)



Documents	<ul style="list-style-type: none">• Policies and Procedures• IEP Related Forms• Notification of Procedural Safeguards
Procedures	<ul style="list-style-type: none">• Child Find, Evaluation, Reevaluation• Discipline, MDR• ESY• Surrogate Parent• Confidentiality
People	<ul style="list-style-type: none">• Teacher and Service Provider Credentials and Caseload Assignments

REVIEW OF LEA POLICIES AND PROCEDURES

Statute:

Under the regulatory provisions of the Individuals with Disabilities Education Act, Part B (IDEA-B), to be eligible for funds the Local Educational Agency (LEA) must, among many things, demonstrate to the satisfaction of the State Education Agency (SEA) that it meets the conditions in §§300.101 through 300.163, and §§300.165—300.174. As set forth in §300.201, LEAs are required to have in effect policies, procedures, and programs that are consistent with the State policies and procedures established under §§ 300.101 through 300.163, and §§300.165—300.174.

INITIAL SUBMISSION

LEA policies, procedures, and forms,

DUE SEPTEMBER 18, 2015

See Compliance Seekers' Guide – 2 & 3

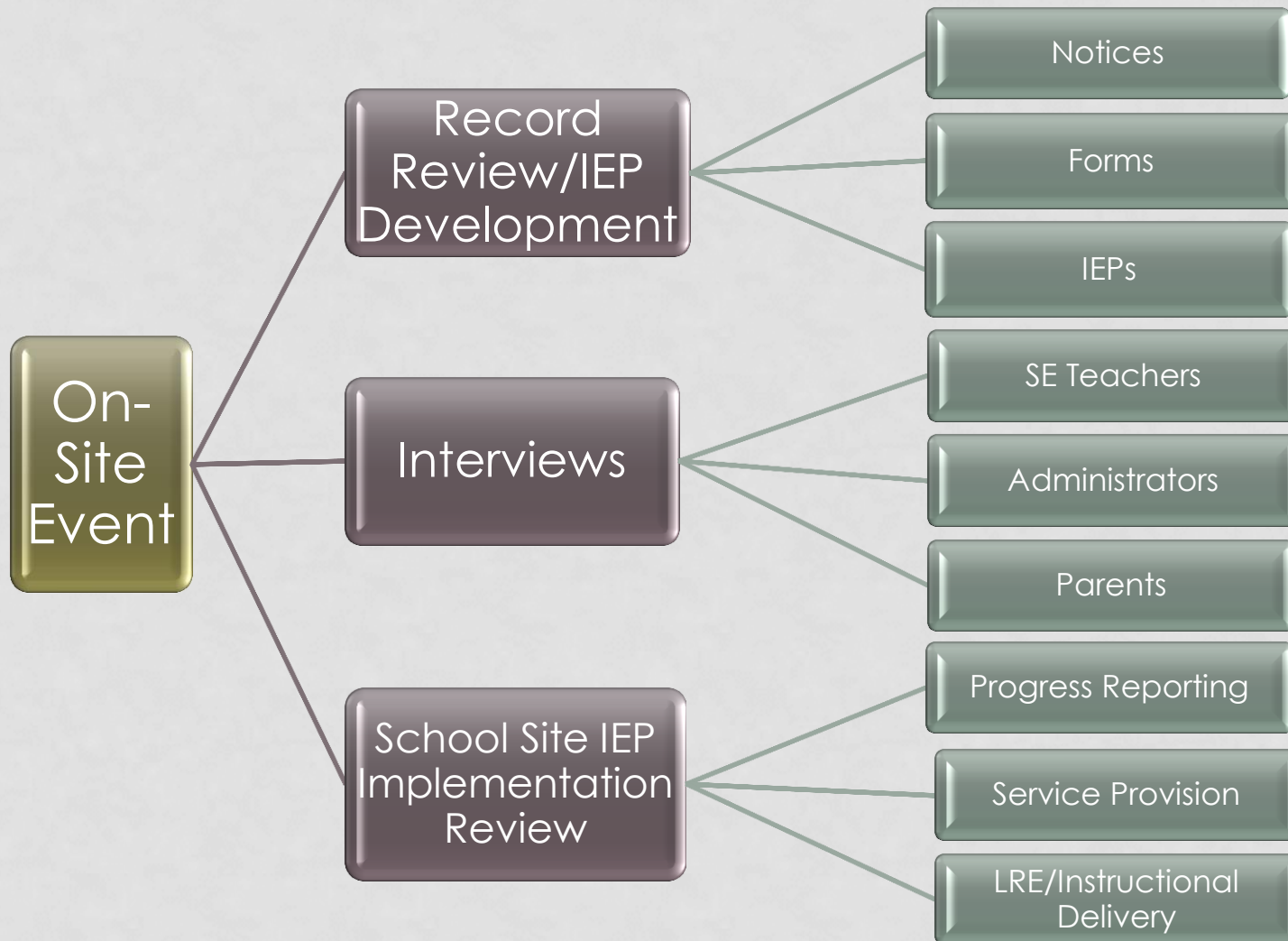
SECOND SUBMISSION

30 days prior to your scheduled on-site visit

- LEA Special Education Staffing Spreadsheet
- Student Information Spreadsheet
- E-mail lists for general education teachers & parents

See Compliance Seekers' Guide – 4-8

ON-SITE MONITORING ACTIVITIES



REVIEW OF RECORDS

STUDENT SELECTION

Subset of 35 to 50 students that includes students who, in the past year, have:

- Transitioned from Part C to B
- Received an initial evaluation
- Been removed from school more than 10 days or placed at an alternative placement
- Reached the age of majority
- Revoked consent for services

STUDENT SELECTION (CONTINUED)

A broad range of students will be selected to cover:

- Different grade levels (PK, ES, MS, HS)
- Different eligibility categories
- Different LRE status (80-100%, 40-79%, 0-39%)
- Different schools & settings
- Indicator 13

STUDENTS' RECORDS FOR ON-SITE VISIT

For the on-site visit, the LEA must make the following records available to the monitoring team for each student selected:

1. Complete special education file
2. Attendance records for past year
3. Current class schedule
4. Evidence of service provision (for current school year)
5. Incident management reports from PowerSchool

ON-SITE AGENDAS

- All on-site monitoring visits will include record reviews, interviews, and school visits.
- Depending on the size of the LEA
 - 2 day visit
 - 3 day visit

See Compliance Seekers' Guide – 10 & 11

LEA PRESENTATION

LEA provides an overview (max. 30 min.) to OSES staff that addresses:

- Student Population Profile
- Administrative Structure and Staffing
- Internal Monitoring
- Specific Programs
- Professional Development

REVIEW OF IEP DEVELOPMENT

Monitoring review is guided by the:

Monitoring Overview and Rubric (MOR)

- MOR, and the form used to collect the data, are organized into thirteen inquiries.
- MOR provides a detailed list of the relevant IDEA provisions and regulations.
- It also lists the documents that will be reviewed for each inquiry.

See Compliance Seekers' Guide – 13 & 14

IEP DEVELOPMENT INQUIRIES

1. Did the LEA take the required steps to ensure that the parents could meaningfully participate in the IEP process, and did the LEA obtain parent consent when necessary?
2. Did the LEA ensure that necessary parties were invited to and/or participated in the IEP process?
3. Did the LEA adhere to required time lines and procedures, including those for initial evaluations and reevaluations?
4. Did the IEP team develop an appropriate statement of present levels of academic achievement and functional performance?

IEP DEVELOPMENT INQUIRIES

5. Did the IEP team appropriately identify in the IEP: special education and related services, supplementary services, testing participation, and classroom and testing accommodations and modifications?
6. Did the IEP team develop appropriate, measurable annual goals and designate how and when the goals would be measured and progress reported to parents?
7. Did the IEP team develop appropriate, measurable annual goals for reading?
8. Did the IEP team appropriately consider all relevant special factors?

IEP DEVELOPMENT INQUIRIES

9. Did the IEP team appropriately explain the extent to which the student will not participate in general education classes and activities, and the IEP team's decisions with respect to least restrictive environment (LRE)?
10. Did the IEP team appropriately consider the need for extended school year services?
11. Did the LEA provide appropriate notice (PWN) to the parents in a reasonable time before changing, or refusing to change, the student's eligibility, evaluation, program, or placement?

IEP DEVELOPMENT INQUIRIES

12. Did the IEP team appropriately develop:
measurable post-secondary goals; a statement of
transition services; course of study; and, when
appropriate, a notice to the student and parents
of the transfer of rights?
13. If there was disciplinary action that involved a
potential change in placement for the student, did
the LEA follow the applicable procedures?

INTERVIEWS AND SURVEYS

- General Education Teacher Survey (online)
- Parent Survey (online)
- Focus Group Interviews During On-Site Visit
 - School Site Administrators
 - Special Education Teachers
 - Parents of Students with Disabilities

See Compliance Seekers' Guide – 7 & 8

IEP IMPLEMENTATION

Members of the monitoring team will:

- review individual student records (e.g., teacher and student schedules, attendance and discipline records, progress reports, services logs, etc.)
- visit schools to determine if IEPs are being implemented as written

IEP IMPLEMENTATION

Inquiries for implementation:

1. Is there evidence that the LEA is providing specialized instruction and related services as delineated in the student's IEP?
2. Is the LEA providing appropriate reports to parents on the student's progress towards meeting IEP goals with the frequency set forth in the IEP?
3. Is the student participating in educational activities with non-disabled peers for the amount of time designated in the IEP?
4. Is there evidence that the student's teachers received notice of, and have a system in place to implement, the accommodations listed on the IEP?
5. Is there evidence that the school site administrators and the student's teachers are familiar with, and are prepared to utilize when necessary, the student's behavioral intervention plan (BIP)?

INDICATOR 13

- Reported for students ages 16 and older but monitored for all students ages 13 and older
- Determination is made via cyclical monitoring and is no longer reported as a percentage – Yes or No

ALTERNATIVE SCHOOLS

On-site monitoring of alternative schools is done in collaboration with the Office of Student Intervention Services.

ALTERNATIVE SCHOOLS ON-SITE PROTOCOL

LEAs are to ensure the following materials have been prepared for the monitoring visit:

- Policies and procedures relating to placement of students at alternative school program
- Number of students receiving special education and related services currently attending alternative school
- Policies and procedures that address behavior of students at the alternative school
- Schedules for specific students with Individualized Education Programs (IEPs)
- Location(s) of where special education and related services are provided to students with IEPs

ALTERNATIVE SCHOOLS ON-SITE PROTOCOL

When on-site, SCDE staff may conduct the following:

- Observations in both general and special education settings to determine whether or not the services for specific students are being implemented as outlined in their IEPs
- Observations of a variety of special education services to determine the continuum of services provided
- Informal interviews with special education and general education faculty and alternative school administrators to ensure that children with disabilities have access to and make progress in the general education curriculum, and to ensure that specific IDEA regulations are being implemented

RESULTS NOTIFICATION (FINDINGS PACKET)

- Letter to Director (and copied to Superintendent) with findings of noncompliance identified along with commendations, concerns, and recommendations
- Attachments to the letter:
 - IEP Development Summary Report
 - IEP Implementation Summary Report
 - Indicator 13 Summary Report

RESULTS NOTIFICATION (CONTINUED)

The following documents are sent electronically to the Director only:

- Parent Survey Results
- General Education Teacher Survey Results
- IEP Development Student Reports (individual)
- IEP Implementation Student Reports (individual)
- Indicator 13 Student Reports (individual)
- LEA Corrective Action Summary
- Corrections and Ongoing Improvement Plan (COIP)
- LEA Corrective Action Form
- Student Corrections Form

CORRECTING FINDINGS OF NONCOMPLIANCE

LEA submits a Corrections and Ongoing Improvement Plan (COIP) (See Compliance Seekers' Guide – 17)

Prong 1

- LEA submits evidence of completion of individual student corrections, and the OSES verifies that the corrections have been completed.
- LEA submits evidence of systemic corrective actions (e.g., policy and procedure changes, professional learning opportunities, technical assistance, etc.), and OSES verifies that corrective actions have been completed.

Prong 2

- OSES reviews records for a new, smaller subset of students (with recent/post PLO IEPs) to determine whether those systemic issues identified by the OSES have been effectively addressed.
- LEA corrects any continuing systemic issues or individual findings from Prong 2 review.

CORRECTION TIMELINES

- Individual student corrections and LEA corrections must be made within eight (8) months of the issuance of the findings packet to allow time for verification and Prong 2.
- All corrections, including systemic corrective actions and verification through Prong 2, must be completed as soon as possible but no later than one year from the date of the findings letter.

OSSES SUPPORT

- Technical Assistance & Professional Learning Opportunities (PLO)
 - Provided by OSSES staff
 - Brokered by OSSES staff
- Webinars & Online Meetings
- Fall and Spring Regional Leadership Meetings
- Research-to-Practice (RtP)
- Links & connections to other organizations, LEAs, & providers

IF YOU HAVE QUESTIONS, PLEASE CONTACT US

The Lead Monitor designated for your LEA:

Kathleen Heiss
kheiss@ed.sc.gov
(803) 734-8061

Ann Moore
acmoore@ed.sc.gov
(803) 734-8806

Mary Etta Taylor
metaylor@ed.sc.gov
(803) 734-0705

